



POLICY AND ADMINISTRATIVE PROCEDURES

Manual of Policies and Procedures

Title

INCIDENT REPORTING, MONITORING AND MAPPING

Legal References (includes but is not limited to)	Related Policies/Procedures (includes but is not limited to)	Other References (includes but is not limited to)
IC 11-8-2-5(a)(8) IC 11-11-6-1(a)(4)	00-02-101 02-03-108	ACA: ACI: 4-4017; 4-4018; 4-4183 JTS: 1A-23; 1A-24; 3A-09

I. PURPOSE:

The purpose of this policy and its administrative procedures is to implement a systematic manner of gathering information regarding incidents that disrupt the orderly running of Department of Correction facilities and analyzing that data to ensure operational and staffing issues that may impact incidents are addressed in order to minimize the violence and disruptions that might occur in a facility.

II. POLICY STATEMENT:

It is the intent of the Department of Correction to diligently manage potential violence by offenders in its facilities. To do so, the Department must be aware re-occurring incidents and patterns of staff and offender interaction by tracking incidents of interest within its facilities.

III. DEFINITIONS:

For the purpose of this policy and its administrative procedures, the following definitions are presented:

- A. **BATTERY ON OFFENDER:** A battery on an offender is reported only if serious bodily injury results or if staff batters the offender or the battery is sexual in nature. In a battery by staff and a battery that is sexual in nature, all such batteries must be reported regardless of the degree of injury.
- B. **BATTERY ON STAFF:** A battery on staff is reported only if bodily injury, serious bodily injury or death results.
- C. **BATTERY ON STAFF BY BODILY WASTE:** A battery in which an offender in a rude, insolent, or angry manner places blood or another body fluid or waste on a staff member.

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- D. **BODILY INJURY:** Any impairment of physical condition, including physical pain in accordance with IC 35-41-1-4.
- E. **CRITICAL INCIDENT:** Any event that seriously disrupts the routine operation of a facility such as those situations involving, battery on staff or offenders, abusive sexual contacts, and staff sexual harassment. Also, those situations which are defined as serious, significant or highly sensitive are considered critical incidents.
- F. **DISTURBANCES:** A disruption of routine facility security by offenders or other persons, such as sit-down strikes, demonstrations, or violent and tumultuous conduct which may include damage to property or injury either inside or outside the facility, including total or partial lockdowns of the facility. The levels of disturbances are as follows:
- **Level I Disturbance** – Responses/resources necessary for the return to normal operations can be attained by the Quick Response Team and on duty staff
 - **Level II Disturbance** – Responses/resources necessary for the stabilization of the situation cannot be attained by the Quick Response Team and/or on duty staff and return to normal operations requires the assistance of off duty staff, including the activation of a facility Emergency Squad.
 - **Level III Disturbance** – Responses/resources necessary for the stabilization of the situation cannot be achieved by facility staff nor its primary back up unit(s) and return to normal operations require the assistance of the regional Special Emergency Response Team and/or facility S.I.T.C.O.N. Team(s).
 - **Level IV Disturbance** – Responses/resources necessary for the stabilization of the situation cannot be achieved by facility staff and return to normal operations requires the assistance from state mutual aid personnel.
 - **Level V Disturbance** – Responses/resources necessary for the stabilization of the situation cannot be achieved by facility staff, inter-departmental personnel, intra-agency personnel and any local mutual aid personnel.
- G. **HIGH RISK OFFENDER:** An offender in a Department facility that has been identified in accordance with the administrative procedures for Policy 02-03-115, “High Risk Offenders,” as an offender who is likely to be involved in behaviors that present a serious threat to the safety and security of the facilities, staff , public or other offenders.

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- H. **HOSTAGE SITUATION:** An event in which a person voluntarily controls another person either by use of weapon(s) or by threat of violence.
- I. **INCIDENT:** Any situation that disrupts the routine operation of a facility.
- J. **MAJOR CONDUCT REPORT:** Any REPORT OF CONDUCT for a major disciplinary code offense (Class A or B) which results in injury to a staff person, a member of the public or another offender or which results in significant damage or destruction of state-owned or personal property belonging to another.
- K. **NATURAL DISASTER:** Events such as earthquakes, tornadoes, straight line winds, chemical spills, etc., where the routine function of the facility is seriously disrupted. These events do not include brief or intermittent power outages, unless these power outages result in substantial equipment failure and subsequent disruption of the facility.
- L. **SERIOUS BODILY INJURY:** Any bodily injury that creates a substantial risk of death or that causes: (1) serious permanent disfigurement; (2) unconsciousness; (3) extreme pain; (4) permanent or protracted loss or impairment of the function of the bodily member or organ; or, (5) loss of a fetus.
- M. **SERIOUS, SIGNIFICANT OR HIGHLY SENSITIVE EVENT:** Any event that includes the following:
1. Escapes;
 2. Death or serious injury of on-duty staff;
 3. Death or serious injury of an offender, except in cases where the offender dies of natural causes and the death was anticipated;
 4. Sexual conduct;
 5. Staff sexual misconduct;
 6. Death or serious injury of a visitor at a facility;
 7. Any serious fire or disturbance at a facility;
 8. Any natural disaster or other serious unexpected event, such as the loss of utilities, that may have a serious negative impact upon the operation of the facility;
 9. Any unexpected facility event that may cause widespread interest or non-routine news coverage and where immediate response or comment may be solicited from Central Office; or,
 10. Any serious crime, such as a homicide, serious battery or sex crime, committed by an offender on Parole that may cause

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widespread interest or non-routine news coverage and where a response or comment may be solicited from Central Office.

N. **SEXUAL CONDUCT**: Engaging in any of the following:

1. Sexual intercourse (i.e., Any penetration, however slight, by the penis into the mouth, vagina or anus of another person or any penetration in these areas by any part of the body or an object.)
2. Sexual contact, (i.e., Contact between persons that includes any of the following:
 - Kissing, except for that allowed under Department policy and administrative procedures;
 - Handholding, except for that allowed under Department policy and administrative procedures;
 - Touching of the intimate parts of one person to any part of another person whether clothed or unclothed; or,
 - Any touching by any part of one person or with any object or device of the intimate parts of another person or any parts of the body that may result in sexual arousal or gratification for either party.)
3. Requesting, hiring or telling another person to have sexual intercourse or sexual contact.
4. Exposing his/her own intimate parts (i.e., breasts, penis, buttocks, scrotum, or vaginal area or any other part of the body that may result in sexual arousal or gratification for either party) to another person for the purpose of sexual arousal or gratification.
5. Having contact with or performing acts with an animal that would be sexual intercourse or sexual contact if with another person.
6. Clutching, fondling or touching the offender's own intimate parts for the sexual arousal of the offender or others, whether clothed or unclothed, while observable by others.

(NOTE: In reporting this violation for purposes of PREA or ASCA, staff shall indicate if the sexual conduct involved the use of force, threat or intimidation and, if by an offender, whether the conduct was towards another offender, staff, contractor or volunteer.)

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- O. **STAFF SEXUAL HARASSMENT:** Repeated verbal statements or comments of a sexual nature to an offender by an employee, volunteer, official visitor or agency representative including:
- Demeaning references to gender or derogatory comments about body or clothing; or,
 - Profane or obscene language or gestures.
- P. **STAFF SEXUAL MISCONDUCT:** Any act or behavior of sexual conduct directed toward an offender by staff, contractor, volunteer, official visitor or agency representative, including a romantic relationships between staff and offenders and sexual conduct, including:
- Intentional touching of the intimate parts of the person or the offender with the intent to abuse, arouse or gratify sexual desire;
 - Completed, attempted, threatened or requested sexual contact or sexual intercourse; or,
 - Occurrences of indecent exposure, invasion of privacy or voyeurism for sexual gratification.

IV. REPORTING CRITICAL INCIDENTS:

- A. Whenever any event of a serious, significant or highly sensitive nature or a critical incident occurs in a Department facility, including Parole Services and Central Office, staff shall be responsible to report these incidents in accordance with this policy and administrative procedures. In addition to the types of incidents defined above, the following events shall require notification in accordance with this policy and administrative procedures:
- Any situation of alleged child abuse and/or neglect occurring within a facility that requires notification to the Department of Child Service, Child Protective Services. (NOTE: The administrative procedures for Policy 03-02-103, "The Reporting, Investigation and Disposition of Child Abuse and Neglect," shall be followed.)
 - Any situation/event that threatens the physical plant of a facility, such as fire, sabotage, equipment failure, power failure, water shortage, heating system failure or significant physical damage to the facility infra-structure other than by natural disaster, particularly when those situations/events impact the overall operation of the facility.
- B. Whenever any staff person becomes aware of any serious, significant or highly sensitive event or critical incident, the staff person shall, while or

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after taking any necessary action to resolve the event, notify the Facility Head or Duty Officer, as appropriate, or the Parole District Supervisor or Assistant Parole District Supervisor for incidents that happen involving parolees or Parole staff.

1. Upon receiving information regarding a serious, significant or highly sensitive event, as defined above, the Facility Head, Duty Officer or Parole District Supervisor shall notify the appropriate Regional Director, Director of Juvenile Services or Director of Parole Services by telephone as soon as possible.
 - a. The Facility Head, Duty Officer or Parole District Supervisor shall provide as much information as possible regarding the serious, significant or highly sensitive event so that all appropriate staff can be made aware of the situation and its status.
 - b. Follow-up telephone calls may be necessary to ensure that all pertinent information is made available to all appropriate staff.
 - c. No later than the next business day, the Facility Head or Parole District Supervisor or designee shall complete a REPORT OF CRITICAL INCIDENT and submit it via e-mail to the appropriate Deputy Commissioner, Regional Director, Director of Juvenile Services or Director of Parole Services and the Secretary/Administrative Assistant to the Deputy Commissioner/Operations.
2. Upon receiving information regarding a critical incident that is not a “serious, significant or highly sensitive event” as defined above, the Facility Head, Duty Officer or Parole District Supervisor shall notify the appropriate Regional Director, Director of Juvenile Services or Director of Parole Services by e-mail utilizing the REPORT OF CRITICAL INCIDENT.
 - a. The Facility Head, Duty Officer or Parole District Supervisor shall include all pertinent information regarding the incident or event so that all appropriate staff can be made aware of the situation and its status.
 - b. This notification shall be made as soon as possible but in no case in more than 24 hours from the critical incident.

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3. In those cases where the person who is to initially be notified is unavailable or cannot be contacted, the reporting staff person shall contact the next person in the chain-of-command. If the next person in the chain-of-command cannot be contacted, the reporting staff person shall continue up the chain-of-command until notification can be made.

- C. The Regional Director, Director of Juvenile Services or Director of Parole Services or other person receiving the report shall collect all available information regarding the incident and shall notify the Commissioner, appropriate Deputy Commissioner(s) and the Department's Public Information Officer.

V. REPORT OF CRITICAL INCIDENT:

No later than the first business day following the date of the critical incident or other serious, significant or highly sensitive event or when staff becomes aware of the critical incident or other serious, significant or highly sensitive event, the Facility Head or Parole District Supervisor or designee shall complete the REPORT OF CRITICAL INCIDENT. This report shall be completed in its entirety and shall include as much information as possible regarding the critical incident or event. This report shall be completed on a computer using the approved electronic version of the REPORT OF CRITICAL INCIDENT so that it will be legible. As soon as this report is completed, it shall be sent to the appropriate Deputy Commissioner, Regional Director, Director of Juvenile Services or Director of Parole Services and the Secretary/Administrative Assistant for the Deputy Commissioner/Operations by e-mail. If the report cannot be sent via e-mail, for example if the e-mail system is not working, a facsimile of the report shall be sent to the appropriate Deputy Commissioner, Regional Director, Director of Juvenile Services or Director of Parole Services following a telephone call advising of the lack of e-mail and the need to send a facsimile. A copy of the report shall be sent via e-mail as soon as possible.

If additional information regarding the critical incident or event is obtained following the submission of the REPORT OF CRITICAL INCIDENT, the Facility Head or Parole District Supervisor or designee shall submit the additional information, in a memorandum form, as soon as possible. If possible, this information shall be sent via e-mail.

Upon receipt of the REPORT OF CRITICAL INCIDENT, the Regional Director, Director of Juvenile Services or Director of Parole Services or other person receiving the report shall review the report and advise the Commissioner, Deputy Commissioner(s) and Department's Public Information Officer as to the contents of the report. If necessary, the Regional Director, Director of Juvenile Services or

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Director of Parole Services shall make any appropriate recommendations relating to corrective actions that should be taken. Upon approval of the suggested corrective actions by the Commissioner and/or Deputy Commissioner(s), the Regional Director, Director of Juvenile Services or Director of Parole Services shall contact the appropriate Facility Head or Parole District Supervisor. The Facility Head or Parole District Supervisor shall prepare a plan of action to implement the corrective actions and shall submit this plan of action within 30 days of the date notified.

VI. MONITORING INCIDENTS:

A. The Assistant Facility Head of Operations or designee will review all INCIDENT REPORTS, REPORT OF CRITICAL INCIDENT, Daily Shift Report and REPORT OF CONDUCT forms for major Disciplinary Code offenses to determine if any type of violence on the part of staff or offender was involved and, if so, the nature of violence. For the purpose of this review, violent incidents will be considered as

1. Battery by an offender on another offender;
2. Battery on staff by an offender;
3. Cell extractions;
4. Disturbances;
5. Abusive sexual contact or non-consensual sexual acts; or,
6. Any "INCIDENT REPORT or REPORT OF CONDUCT for a major Disciplinary Code offense that contains a battery or other violent acts.

The OIS and JDS Systems have reports that will assist in monitoring many of the events. REPORTS OF CONDUCT are available by "place of incident".

B. Each day, Monday through Friday, if an incident or critical incident occurs, an operational meeting will be held to discuss all incidents within the facility. The following staff shall attend these meetings:

- Facility Head;
- Assistant Facility Head/Operations;
- Custody Supervisor;
- Facility Investigator;
- Safety Hazard Manager;
- Designated Unit Manager(s);
- Shift Supervisor;
- Health Care Staff, if medical treatment was necessary; and/or,

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- Any other staff designated by the Facility Head or Assistant Facility Head.

The Assistant Facility Head/Operations or designee shall ensure that copies of all INCIDENT REPORTS, REPORT OF CRITICAL INCIDENT, Daily Shift Reports and REPORTS OF CONDUCT to be considered at the meeting are brought to the meeting so that all staff may review the complete report during the discussion of the incident.

VII. MAPPING OF INCIDENTS INVOLVING VIOLENCE:

All information relating to acts of violence in the facility gathered in accordance with Procedure VI. A. shall be plotted on a magnetic map of the facility. The Assistant Facility Head/Operations shall maintain this map on a daily basis. The map shall be posted in the facility's command center.

The incidents will be plotted by housing unit or activity area, (i.e. food service, recreation, school, etc.)

- A. A **red magnet** will represent offender on offender batteries;
- B. A **blue magnet** will represent offender on staff batteries;
- C. A **yellow magnet** will represent sanitation issues;
- D. An **orange magnet** will represent destruction of property;
- E. A **purple magnet** will represent medical issues;
- F. A **green magnet** will represent abusive sexual contact or non-consensual sexual acts;
- G. A **white magnet** will represent escape or escape attempts; and,
- H. A **black magnet** will represent all other types of incident.

At least monthly, Internal Affairs staff shall take a digital photograph of the facility map showing all incidents that occurred during the month. The monthly pictures shall be taken to the meetings to discuss incidents and shall be used to assist in the tracking of incidents and determining the appropriate response to the incidents. Copies of these photographs shall be forwarded to the Deputy Commissioner of Operations for reviewing and sharing with the Commissioner and other appropriate staff.

VIII. RESPONSE TO THE INFORMATION COLLECTED ON INCIDENTS INVOLVING VIOLENCE:

Based on the information relating to violent incidents gathered and the analysis of this information by staff, it may be determined that changes may need to be made in the operation of the facility. These changes may include, but are not limited to:

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A. Staffing changes.

If the pattern of violence indicates that there is a lack of proper supervision in an area (for instance if there is a lack of enforcement of policy, procedures, or post orders) staff changes may occur or disciplinary action may be necessary;

B. Operational changes.

If the pattern of violence indicates that the current operation of an area enhances the opportunity for violence, the policies, procedures or post orders should be reviewed and changed to allow for greater security in the violent prone area;

C. Functional processes.

In some situations there may be need to change functional processes that have been well established within facility.

D. Incident Management Meeting.

If the incident is identified as having been related to poor supervision and control of offenders, the staff member(s) responsible for the location where the incident occurred shall meet with the Facility Head and Assistant Facility Head/Operations in order to review basic safety, security, supervision and control procedures. Such meetings shall be documented in the staff member's Fact File as performance counseling.

IX. INCIDENT SUMMARY:

The Assistant Facility Head/Operations shall maintain an "Incident Summary." REPORTS OF CONDUCT regarding major offenses involving violence or significant property damage, REPORTS OF CRITICAL INCIDENTS, INCIDENT REPORTS, etc., shall be maintained on a database available for review by all Department Heads. Information contained in the database shall include but not be limited to:

- Date of incident
- Time of incident
- Location of the incident
- Staff rotation on duty at the time of incident
- Staff members involved in the incident
- Offender(s) involved in the incident

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- Type of incident
- Shift Rotation
- Race of persons involved
- Injuries that resulted from the incident
- Whether the use of force was necessary
- Whether Security Threat Groups or High Risk offenders were involved
- Other information as determined by the Facility Head
- Recommendation(s) for remedying the situation

X. DEBRIEFING OF CRITICAL INCIDENTS:

Within 48 hours of an incident requiring a REPORT OF CRITICAL INCIDENT, the Assistant Facility Head/Operations, the Custody Supervisor, Facility Investigator, Unit Manager or Supervisor of the area where the incident occurred shall conduct a debriefing. A report of the debriefing shall be prepared and submitted to the Facility Head for review. This debriefing report shall contain the following information:

- A. A brief description of the incident;
- B. Review of staff and offender actions during the incident;
- C. Factors that may have contributed to the incident;
- D. A list of all injuries or death;
- E. A list of all staff directly involved in the incident;
- F. A review of incident's impact on staff and offenders;
- G. An inventory of damaged or destroyed state property;
- H. A critique of decisions made during the incident;
- I. Factors or conditions which still exist and which could result in a similar incident;
- J. Any referrals to law enforcement and or prosecutors office; and,
- K. Recommendations for plans of improvement.

Following review and approval of the report, the Facility Head shall prepare a plan of action for any areas needing improvement. The Facility Head shall submit a copy of the report and the plan of action to the appropriate Regional Director. The Regional Director shall review the report and plan of action and share this information with the Deputy Commissioner/Operations and any other staff impacted by the incident. Upon approval of the plan of action by the Deputy Commissioner, the Regional Director shall advise the Facility Head. The Facility Head shall implement the approved plan of action.

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XI. GRAPHING/TRACKING OF CRITICAL INCIDENTS:

The Facility Internal Affairs Office shall be responsible for tracking critical incidents from month to month and year to year. Comparisons from year to year and month to month shall be completed and incidents shall be divided into three (3) sub-categories: Offender on Offender violence; Offender on Staff violence; and Non-violent incidents. All departments shall cooperate fully with Internal Affairs staff by providing any documentation necessary to assist in the tracking of critical incidents.

Data shall be collected on a quarterly basis and provided to the appropriate Regional Director for review. The Regional Director shall share the quarterly information with the Chief Investigator/Internal Affairs and the Deputy Commissioner/Operations to determine whether any action is necessary. The Regional Director shall discuss any concerns or necessary actions with the appropriate Facility Head(s).

XII. PLAN FOR THE REDUCTION OF VIOLENCE:

In an effort to reduce the overall incidents of violence, each facility shall;

- A. Continue to review the Incident Management database to identify trends in violence, repeated incidents involving the same offender(s), locations, times and shift rotations of incidents, and the number of incidents involving particular staff members.
- B. Conduct incident review performance meetings with involved staff to identify and recognize what staff could have done better to prevent an incident.
- C. Utilize the Offender Incentive program to recognize and reward positive behaviors.
- D. Partner with outside local resources to provide programs and reduce tension within the facility.

XIII. TRAINING:

Each Facility Head shall ensure that supervisory staff is trained in the components of this policy and its administrative procedures. The Correctional Training Institute has a training module on Critical Incident Reporting that new supervisory staff may take.

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XIV. APPLICABILITY:

This policy and its administrative procedures are applicable to all Department of Correction facilities and staff.

Signature on File

J. David Donahue
Commissioner

9/27/07

Date